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ABSTRACT

This paper explores the State University of New York's (SUNY) 34-year history as a background to planning the system's direction as it moves into the next century. The paper's specific focus is on the University's own internal planning mechanisms and its response to recommendations made by the independent review bodies periodically charged with assessing its progress. An opening section provides an overview of the system's development and context. A section on planning in SUNY reviews the original trustees' master plan adopted in 1950, the 1960's master plan, and other types of planning and evaluation: internal system plans and studies, individual campus plans and goals, evaluations of external commissions and consultants, and periodic reviews. An examination of efforts to build a university in accordance with the plans looks at assistance from the Heald, Wells, and Muir reports in the 1960s, efforts to expand access and programs, development in the 1970s and 1980s, and legislation in the 1980s giving the system more autonomy. It is concluded that SUNY's planning has been critical to achieving its mission and four of its principal features: access; comprehensiveness; campus and program diversity and differentiation; and quality. (JB)

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STATE UNIVERSITY OF NEW YORK

SUNY 2000

SUNY: A PLANNED SYSTEM

A SUNY 2000 Occasional Paper

October, 1992

HE 026 480

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CONTENTS

1	Preface
3	A System Perspective
7	Planning in SUNY
11	Building a University in Accordance with the Plans
18	Achieving the University's Mission

PREFACE

SUNY: A Planned System was written as part of the SUNY 2000 planning process initiated in 1989 to define a broad set of goals and principles that would guide State University into the next century. The Board of Trustees adopted the SUNY 2000 goals following extensive consultation with a broad-based Advisory Council of SUNY presidents, faculty, students, and key SUNY Central Administration staff. The specific SUNY 2000 goals and the philosophy that helped frame them are presented in *SUNY 2000: A Vision for the New Century*, published in September 1991.

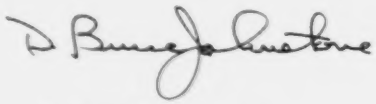
As part of the year-long SUNY 2000 advisory process, several resource papers were prepared by SUNY Central Administration staff members as background for discussion. One such paper is *SUNY: A Planned System*, which explores State University's history of planning. It also addresses an assumption essential to sound planning: that in order to understand where we should be going, we must first understand where it is we have been and why.

Both because we believe these background papers are of interest in and of themselves and because they further illuminate the thinking that preceded the formalization of the SUNY 2000 goals, we have decided to issue a small series of SUNY 2000 Occasional Papers. *SUNY: A Planned System* is the first of these to be published.

This paper gives an overview of the growth of State University in the 43 years since its founding, focusing on the University's own internal planning mechanisms and its response to recommendations made by the independent review bodies periodically charged with assessing its progress. One conclusion: Contrary to some popular misconceptions, State University has not grown "helter skelter," or without restraint, and certainly not without design or priorities in which citizens and elected officials had very substantial input. Another conclusion: State University has generally not altered its goals to fit resources, even when implementation of these goals must be adjusted to accommodate fiscal conditions. I believe this is still a good strategy because an institution needs a clear and steady view of its future, even if its goals cannot be attained as quickly as had been hoped. I am convinced that the goals we identified through

SUNY 2000 are the right ones for State University and the ones we must embrace even in difficult financial times.

Ms. Jane Graham, Director of Archives and Records Management and former Assistant to the Executive Vice Chancellor, is the principal author of this document. Ms. Graham combines skills in writing and research with a long history of observation of and participation in SUNY Central Administration at the highest levels. She was assisted by many colleagues, including especially Mr. Tommy Annas, Assistant Provost for Institutional Research; Miss Martha J. Downey, Secretary of the University; Dr. Thomas M. Freeman, Associate Provost for Planning and Policy Analysis; and Mr. Sanford H. Levine, University Counsel and Vice Chancellor for University Affairs.



D. Bruce Johnstone
Chancellor

In 1985, as part of the landmark flexibility statute, the Legislature approved a restatement of the mission of the State University. This statement embodies what the University has been striving for, and in many respects has become, in the 43 years since its founding. It reflects both the original vision of public higher education that created SUNY and the characteristics the University has developed as that vision has been pursued — accessibility, comprehensiveness, diversity, quality.

The mission is expressed in the statute as follows (emphasis added):

> "The mission of the state university system shall be to provide to the people of New York *educational services of the highest quality*, with the *broadest possible access, fully representative of all segments of the population in a complete range of academic, professional and vocational postsecondary programs* including such additional activities in pursuit of these objectives as are necessary or customary. *These services and activities shall be offered through a geographically distributed comprehensive system of diverse campuses which shall have differentiated and designated missions designed to provide a comprehensive program of higher education, to meet the needs of both traditional and non-traditional students and to address local, regional and state needs and goals.* In fulfilling this mission, the state university shall exercise care to develop and maintain a balance of its human and physical resources that:
>
> a. recognizes the fundamental role of its responsibilities in undergraduate education and provides a full range of graduate and professional education that reflects the opportunity for individual choice and the needs of society;
>
> b. establishes tuition which most effectively promotes the university's access goals;
>
> c. encourages and facilitates basic and applied research for the purpose of the creation and dissemination of knowledge vital for continued human, scientific, technological and economic advancement;
>
> d. strengthens its educational and research programs in the health sciences through the provision of high quality health care at its hospitals, clinics and related programs;
>
> e. shares the expertise of the state university with the business, agricultural, governmental, labor and nonprofit sectors of the

state through a program of public service for the purpose of enhancing the well-being of the people of the state of New York and in protecting our environmental and marine resources;

f. promotes appropriate program articulation between its state-operated institutions and its community colleges as well as encourages regional networks and cooperative relationships with other educational and cultural institutions for the purpose of better fulfilling its mission of education, research and service."

The University's history demonstrates that its Trustees, faculty, students, and administrators have, with the support of the State's elected officials and the public, planned and constructed a system to carry out these expectations. Altogether, 64 campuses — with a variety of clienteles and service areas, offering a wide choice of programs and degrees, differing admissions policies, and a range of campus learning environments — provide within a single system the broad range of intellectual and developmental opportunities suitable for a large and diverse population in a widespread and economically diversified state.

The University has pursued its mission through conscious planning, self-evaluation, and attention to the needs of the public.

The University has pursued this goal in large part through an unusually strong history of conscious planning, repeated self-evaluation, and regular attention to the future needs of the public. In most other states, the nucleus of public universities and systems was formed more than a century ago. Planning was certainly not absent, but those institutions could evolve gradually, growing, mounting programs, and reallocating resources over time in response to Americans' progressively expanding views of who can benefit from a higher education and what higher education's role in the society should be. The State University of New York was established for the same basic reason as other state universities and has come to share the same comprehensive mission — to provide educational opportunity for the benefit of the state as well as the individual. But New York was the last State in the Union to provide its citizens a public university. Thus, SUNY's development into a major institution, of necessity, has been compressed into less than half a century. How far it has come can be shown by noting where it started, and how it got there.

New York finally established a state university because of inequality of opportunity; the State's future was thought to be at risk.

The Need for State University

When the University was created in 1948, New York's public higher education could reasonably be described as "geographically distributed" (albeit neglecting many major population centers), but it hardly represented comprehensiveness, accessibility, or much differentiation. It consisted of 11 State teachers' colleges, most enrolling fewer than a thousand full-time students; the four City Colleges of New York (limited to residents of the City); 11 two-year institutes offering agricultural, technical, and applied sciences programs; seven small, specialized, primarily undergraduate institutions — the Maritime College, the College of Forestry (as it was then called), and the five present-day statutory colleges, which were established by legislative action and operated by private institutions — plus three State-funded "emergency colleges" operated by a consortium of upstate private institutions (and later closed). Altogether, these institutions enrolled approximately 60,000 full-time students, more than half of them in New York City. There were no publicly controlled liberal arts baccalaureate programs outside New York City, no public doctoral programs in the arts and sciences, no public research institutions, no community colleges. Tens, possibly hundreds, of thousands of New York's youth left the state every year to attend public universities elsewhere.

New York finally moved to establish a state university because inequality of opportunity had become an urgent public issue. Three elements combined: a lack of college opportunities for a growing population; a particular need to serve the returning veterans of World War II; and growing charges of religious and racial discrimination in admissions to private institutions, especially medical schools.

A blue-ribbon Temporary Commission on the Need for a State University, created by Governor Thomas E. Dewey and the Legislature in 1946, concluded that the State's future was at risk:

> "Less than half of New York's high school graduates whose records place them among the highest fourth of their classes are going to college. Most others in this quartile, as well as many other students qualified to benefit by college education, do not have funds sufficient to enable them to attend college.... The conditions of the times

require a broadening of the public provisions for higher education on all fronts. They require also more effective assurance of equality of educational opportunity to all qualified youth."

As the Temporary Commission recommended, the State approved creation of a state university, under a single board of trustees, to encompass all of the existing public institutions except the New York City municipal colleges and, as necessary, to create or acquire new ones. The Commission was explicit that greater opportunity was needed at all levels of instruction, including graduate and professional, although it emphasized the immediate creation, upon local initiative, of community colleges.

New York's urgent need for educational opportunity would have to be addressed at the same time a new structure was being invented.

Thus, the University's initial leadership faced the task of turning the 32 unrelated public institutions it had inherited from history into something new and unusual for the times — a system. New York's urgent need for educational opportunity would have to be addressed at the same time a new structure was being invented. The leadership and direction necessary to carry out the University's mission would have to be combined with a large measure of campus autonomy, creativity, and authority. Fortunately, from the outset, the University's Trustees were assigned planning as a major responsibility.

Throughout its history, SUNY has consistently pursued many types of planning and evaluation, both short- and long-range.

Master Planning

The first Trustees were charged with reporting to the Legislature "a plan for the further development of the University and for its continuing governance and supervision...." Thus, long before the State's current master planning law was enacted (in 1961), the University was evaluating needs and laying out major goals and directions for the future. The Board's first annual report noted:

> "...the Trustees have been receiving communications from various communities and groups of citizens throughout the State, urging the establishment of additional undergraduate higher education facilities. Accordingly, the Trustees began early in 1949 the planning for development of a university undergraduate program in both two-year and four-year fields."

In 1950 the Board formally adopted its first Master Plan (thought to be the first such plan for higher education in New York's history). Based on an assessment of the whole state's needs and the programs of all sectors of higher education, it recommended immediate establishment of two-year programs in the state's main economic areas, estimated enrollments out to 1966, and identified a need for new four-year programs. The next University Master Plan was prepared in 1956. Since then, the Trustees have published and submitted such a plan to the Regents and the Governor every four years and made it available to the Legislature and the public. In accord with the State's master planning statute (revised in 1971), biennial revisions and progress reports are also prepared and, following later State Education Department guidelines, individual Trustee-approved amendments to the Master Plan are prepared for certain types of program actions. The quadrennial plans, progress reports, and amendments are all subject to the review and approval of the Regents and the Governor.

Since 1950 SUNY has regularly issued Master Plans to guide its growth and development and to inform the public and elected officials of educational needs.

The University's master plans have proven to be reliable guides to its development. Most of the major recommendations (often reaching far into the

future) have been implemented in one form or another, although not always on the anticipated schedule. The 1960 Master Plan, for example, set forth the outlines of the University as it became in the early '70s and is today, with four University Centers, multi-purpose University Colleges, and a network of community colleges throughout the state with "comprehensive" programs. When the plan was prepared, however, most of SUNY's four-year colleges were single-purpose teacher education institutions, virtually no graduate programs in the arts and sciences existed, and many counties outside New York City still had no readily accessible public higher education at all.

One major factor contributing to the plans' validity has been their broad goals and directions — functioning as guides rather than blueprints. Another is their reliance on campus participation and advice, as well as system analysis, in both setting and implementing system goals — the assessment of local conditions, faculty strengths, student needs and interests, employer demands, program development, and other factors that comes best from the grassroots knowledge of those who actually carry out the instruction, research and public service.

SUNY's Master Plans have proven to be reliable guides to its development.

Yet another strength has been adherence to the philosophy articulated by the Trustees in 1950: "...the master plan must retain sufficient flexibility to permit continuing usefulness and application. It must be a living document, malleable and dynamic, under constant scrutiny and revision." As a result, New York's and SUNY's planning processes have generally avoided the bitter controversies created in some other states, where statutory master plans or overly rigid institutional missions — and the consequent inter-institutional or inter-system contests over degrees, admissions, and regional service — have produced debilitating public conflicts and political battles to overturn or maintain the status quo.

The University has generally taken the position that its long-range *goals* should not be altered to fit resources, although the pace of their implementation may have to be adjusted in response to state or national fiscal conditions. SUNY's history shows, however, that goals have been revised or even abandoned when *educational* needs and circumstances warranted. It should also be

noted that the demands of internal or external clienteles for new services have not always survived the scrutiny of SUNY's planning processes. Major past examples include a second law school, a fifth University Center, and proposed community colleges in counties not meeting the University's minimum standards for population, potential enrollment, and local support.

Campus plans have also contributed crucially to system goals and policies. Some plans are undertaken solely at campus initiative. Others have been specifically related to system-wide planning processes.

Other Plans and Evaluations

The master plans (and the University's operations) have been developed from, buttressed by, and implemented through many other types of planning and evaluation:

• Over the years the University has conducted a host of internal system plans and studies in specific areas of policy or operations, frequently repeated over time as new conditions emerged, often performed jointly by the system office and the campuses, some specially commissioned from outside experts. Their subjects cover a wide range: demand for specific disciplines (e.g., engineering, medicine, teacher education); access issues, including transfer and articulation and student financial aid; student services; graduate education; research; the missions of particular types of campuses (e.g., the old teachers' colleges, community colleges, and the former Agricultural and Technical Colleges, through the recent NCHEMS study); academic facilities; hospitals; and more.

• Individual campus plans and goals, often developed with the participation of external experts or local community and business groups, have guided campus academic, facilities, and budgetary development. Campus plans have also contributed crucially to system goals and policies. Some plans are undertaken solely at campus initiative. Others have been specifically related to system-wide planning processes: e.g., the 1968 system Master Plan was built upon an extensive campus process begun two years earlier; in 1973-4, a round of campus planning was conducted in response to the '72 Master Plan.

• The evaluations of external commissions and consultants, some appointed by the Executive Branch or the Legislature, have influenced SUNY's development at critical points in its history. The Heald Committee report of

1960 and the Wells and Muir Reports of 1963 accelerated the University's expansion and gained it greater academic and managerial autonomy. Twenty years later, the Independent Commission on the Future of the State University was instrumental in identifying needs for management flexibility and for greater investment in graduate education and research.

• External evaluations of SUNY campuses are regularly performed by the Middle States regional accrediting association, and particular programs are assessed periodically by 30 national accrediting bodies that set standards for professional education (e.g., medicine, nursing, engineering, music, teacher education). The State Education Department reviews existing doctoral programs and new programs at all levels in all of New York's institutions.

The Independent Commision on the Future of the State University was instrumental in identifying needs for management flexibility and for greater investment in graduate education and research.

• University policies require periodic review of academic programs by the campuses. In addition, the Central Administration reviews proposed new programs in the light of a campus's mission, budgetary concerns, and system-wide needs before they are submitted to the Trustees, the State Education Department, or the Regents for approval.

• The University has for years maintained other ongoing planning processes, both short- and long-range. The campuses and Central Administration, separately and jointly, examine future enrollments, current and future academic needs, operating budget issues, and facilities construction and replacement (e.g., the Trustees' Capital Master Plan). These inter-connected processes guide the University's budget requests, as do system and campus planning goals.

As appropriate, actions resulting from campus and system plans that have major fiscal, programmatic and policy implications (and significant operational matters) have always been subject to review by the Governor and the Legislature through the State's regular budget, budget execution, and legislative oversight processes.

BUILDING A UNIVERSITY IN ACCORDANCE WITH THE PLANS

The University enabling legislation of 1948 provided for the establishment of "additional required facilities such as two-year colleges, four-year liberal arts colleges, professional and graduate schools, research centers, and if deemed advisable an integrated university unit situated on a single campus." A brief review of SUNY's development shows the impact and the continuity of its planning.

As would be expected, the master plans of the 1950s and '60s concentrated on physical and programmatic growth — new campuses or expanded missions for existing ones. The Trustees turned their attention first to undergraduate and medical education. As recommended by the Temporary Commission (and following public hearings), two medical schools were acquired in 1950 by the absorption of private institutions. The same year, the Trustees authorized the first liberal arts college ever supported and controlled by the State of New York and the first community colleges. The 1950s also saw a review of the teachers' colleges and plans for a projected new upper-division college at Stony Brook and doctoral work in the Albany area.

At the end of the decade, however, the University's leadership acknowledged that its early plans, although valid originally, were not sufficient to meet the State's needs or the Trustees' responsibility for developing State-supported higher education.

> "It is now apparent that a comprehensive revision is required. Rapidly changing conditions have created entirely new demands, the implications of which were unknown ten years ago. Primarily we are faced with the single, basic fact that the colleges and universities in New York State are in danger of being unable to accommodate the ever-increasing numbers of qualified students who should attend college." (1960 Master Plan.)

These conclusions were based on enrollment estimates and reviews of the State's two- and four-year programs and graduate opportunities.

By this time, the University had added 18 community colleges (some converted from the old institutes of applied sciences). But they still offered only

In the early 1960s, it appeared that New York's higher education would be overwhelmed by rising student demand. Special commissions recommended ways to help SUNY meet the challenge.

"terminal" degrees. In 1960, students seeking an education in the arts and sciences could not be served well in either two- or four-year SUNY colleges.

Helping the University: The Heald, Wells, and Muir Reports

At this point in its history, the University received crucial help in planning and in implementing its goals, the latter an increasingly serious problem. New York did not have a tradition of strong public higher education outside New York City. The University's Trustees and executive officers lacked sufficient authority to realize their vision of bringing higher education within economic and geographical reach of New Yorkers in every region. SUNY did not even have clear standing as a self-governing academic entity, having originally been established as a part of the State Education Department. University budgets were submitted to the Governor through SED, and many decisions concerning curricula, admissions, and other academic matters generally considered in other institutions to be governing board responsibilities were shared with SED or the Regents.

In 1959, however, the prospect that New York's higher education, public and private, would be engulfed by the demand for college places stimulated appointment of a special Committee on Higher Education. Known as the Heald Committee after its chair, Henry T. Heald, president of the Ford Foundation and former president of New York University, it was to report to Governor Nelson A. Rockefeller and the Board of Regents on the adequacy of the State's higher education for the needs of the future. Charged with recommending ways to assure access and provide the State with needed training and research capacity, it opted for bold steps. For SUNY, it recommended substantially expanding access and programmatic opportunity at both undergraduate and graduate levels.

The Heald Committee and a consultant engaged by the Legislature (Herman B Wells, chancellor of Indiana University) also urged that the University's leadership be given greater authority to manage. A number of their proposals were accepted by the Governor and the Legislature in the early '60s. As a result, the University/Regents' relationship was realigned to clarify the

Trustees' authority for SUNY's planning and operations, University budgets were submitted directly to the Governor, and some other procedural controls were lifted. The State also devised new mechanisms for constructing and financing academic facilities and dormitories, including creation of the State University Construction Fund in 1962.

Meeting Expanding Needs: Access and Programs

The University responded positively to the Heald Committee's recommendations in its 1960 and 1964 Master Plans, which aggressively addressed access and the programmatic choice needed to make admission meaningful. The Trustees agreed that the community college network should be further expanded and "University-parallel" arts and science curricula added, that the teachers' colleges be converted into multi-purpose institutions with the addition of arts and sciences, and that graduate opportunities be developed. The Board was already interested in building graduate education beyond the master's level. It rejected the Heald recommendations for two locations, however, just as it had rejected the proposal in an earlier consultant's study (the Blegen Report in 1957) for one graduate and research campus (i.e., a "flagship" campus):

> "...the Trustees feel strongly that the State of New York will eventually require that comprehensive graduate opportunities at the doctorate level be offered at four public institutions.... This degree of decentralization, combined with departmental and program specialization, will make opportunities for graduate study more readily available to students throughout the State...."

The Trustees agreed that the community college network should be further expanded . . . that the teachers' colleges be converted into multi-purpose institutions . . . and that graduate opportunities be developed.

The 1960s saw an explosion of growth in public and private higher education nationwide to accommodate the rising aspirations of the "baby boomers." SUNY's credit course enrollment *quadrupled* during the decade. (Other states also rapidly expanded their public higher education, creating new institutions and often organizing both new and old campuses into systems.) University plans authorized additional community colleges in New York City and elsewhere, new four-year institutions for Westchester County and Long Island, and development of four University Centers (virtually from the ground up at

Stony Brook, through expansion of existing colleges at Binghamton and Albany, and through merger into the system of the privately controlled University of Buffalo). Development of the health sciences centers, including a new one at Stony Brook, was also approved in accord with the 1963 recommendations of a committee, appointed by Governor Rockefeller and the Chancellor of the Board of Regents, to examine New York's needs in health sciences education. The Committee was chaired by Malcolm Muir, president of *Newsweek*.

Developing the Campuses and the System

In the 1970s, SUNY planning continued a necessary emphasis on access and building entry to the system, but reached further toward development — addressing students' needs for services, for programmatic choice, and for choice of learning climate. (The University's planning processes were supplemented by the creation of two special Chancellor's panels, one appointed in 1970 to assess the long-range future, the other created in 1975 to review priorities in the light of state fiscal problems.)

In the 1970s SUNY planning . . . reached further toward development – addressing students' needs for services, for programmatic choice, and for choice of learning climate.

The state's Full Opportunity Program was enacted for community colleges, and a statewide network of 38 such campuses was completed. With these, the establishment of Empire State College and the College at Utica/Rome, and legislative creation of the College of Optometry, SUNY reached a total of 72 campuses — later reduced to 64 through statutory transfer, without objection by the University, of total supervision over eight community colleges in New York City to the governing board of the City University (CUNY). This decade also saw development of SUNY's pioneering programs for economically and educationally disadvantaged young people and adults, the Educational Opportunity Programs and Centers. Health sciences education and patient care took on a new importance.

Although the rounding out of the University's facilities, programs, and services continued, the beginning of a series of state fiscal crises slowed or altered implementation of some plans. SUNY's responses to funding constraints included strengthened program reviews, revised enrollment plans, program

A major casualty of the fiscal problems of the '70s and '80s was the timely maturation of the University's graduate education and research capabilities.

eliminations, delayed development at some campuses, and, when no longer avoidable, retrenchments.

Master plans of the '80s continued many themes of the '70s and featured the need for greater management flexibility, maintaining program quality, attracting a more diverse faculty and student body, strengthening research, funding and capital construction needs, and enhancing SUNY's public service and other contributions to the State's economic development. A "multi-phase rolling" plan process was established to help mesh shorter-term priorities and needs with long-range goals. Specific programmatic topics were treated in separate plans focused on particular functions or disciplines, e.g., investment needs in engineering, graduate education and research. Continuing efforts of the '60s and '70s, the Trustees and University staff also devoted substantial and repeated attention to health sciences education, patient care and the operations of, by then, three University hospitals.

Autonomy and Maturity: The Independent Commission

A major casualty of the fiscal problems of the '70s and '80s was the timely maturation of the University's graduate education and research capabilities. Starting from a tiny base in SUNY's first year (442 graduate degrees granted, only six of them doctorates), graduate work expanded and diversified from a few professional fields very slowly until the early '60s. Over the next decade, however, the campuses steadily improved their external research funding and created new programs and centers of excellence in both professional and non-professional fields. Then, starting around 1973, progress was slowed by budget problems, a temporary moratorium on new doctoral programs, and a legal controversy surrounding the Regents' doctoral review project.

As a result, and despite points of excellence, the University's graduate offerings, overall, had not achieved the variety, consistency, or level of quality of its undergraduate programs. The inadequacy of SUNY's graduate and research functions to the needs of the State had been identified in the early '60s by both the Heald and Wells reports (said the latter, "Improving graduate education and research is one of the key problems of public higher education in New York.").

This problem and its serious impact on the State's educational and economic development were again identified forcefully by the blue-ribbon Independent Commission on the Future of the State University, appointed in 1984.

The Commission, chaired by Ralph P. Davidson, chairman of the board of Time, Inc., and Harold L. Enarson, president emeritus of Ohio State University, was composed of business and governmental leaders, mostly New Yorkers, and senior executives in higher education, mostly from outside the State. The Commission reviewed the University's operations and development in many areas, including undergraduate education, but reserved its greatest concern and strongest words for two aspects: SUNY's inability to exercise management responsibility and the underdevelopment of its graduate education and research functions. In the Commission's view the two problems were related. An over-regulated SUNY could not compete with leading universities in other states for top-quality faculty and staff, while "In research and graduate education — areas that are crucial to the future well-being of New York's economy — SUNY's achievement is well behind that of leading public universities in other states and leading independent universities in New York."

Through the SUNY 2000 planning project, the system is examining the State's future higher education needs for an increasingly diverse population.

SUNY responded quickly to both of the Commission's concerns. "Flexibility" legislation proposed by the Trustees and approved by Governor Mario Cuomo and the Legislature in 1985 gave the Board greater authority for many financial and personnel matters, and substantial portions of this authority were delegated to the campuses. The University then proposed its Graduate Education and Research Initiative, first endorsed by Governor Cuomo and the Legislature in the 1987-88 budget. The GRI, along with the investment in engineering education that preceded it, produced demonstrable gains in graduate program quality and research activity, improving the University's educational service and hastening its achievement of mature university standing.

In the '90s, the University continues regular review of its programs and other services, and is making a special effort to look ahead to the next century. Through the SUNY 2000 planning project, the system is examining the State's future higher education needs for an increasingly diverse population, including responses to new workforce needs, a changing economy, and higher education's

role as a mechanism for greater social and economic justice. A series of system goals, emphasizing the needs of the State as well as the students, will be followed by a campus planning process that assesses local and regional as well as Statewide goals and demands for service.

Like higher education elsewhere, the State University's course over the last 40 years has been affected by external events and by unforeseen influences, both outside and inside the academy: e.g., state and federal policies in student financial aid and research, the end of military conscription, the explosion of new knowledge in many fields, the growth of rapid communications and other technologies, computerization in the workplace and in academic scholarship, growing demands for a skilled workforce, economic recession.

Some of these influences have been addressed in the University's planning; others have affected SUNY's ability to carry out its plans, both positively and negatively. In general, it seems fair to say that inability to implement plans, or to do so on a timely basis, has been a greater problem than the adequacy of the plans themselves. Many goals — e.g., development of health sciences education and hospital operations, or residence halls' self-sufficiency — have required enormous amounts of campus and system office time and effort (and often outside expertise) in the planning, and even more effort to implement, given their legal, programmatic and operational complexity and the need for approvals and assistance from state agencies and other concerned parties. Nevertheless, it can be shown that SUNY's planning has been critical to achieving its mission and four of its principal features — access, comprehensiveness, campus and program diversity and differentiation, and quality — attributes not automatically compatible with one another.

Access

From the beginning, the University has estimated demand for higher education and has planned its enrollment through regularly published and frequently revised goals. These goals, jointly determined by the campuses and the system office (and taking into account the plans of the other sectors), have proven to be valid over time. When deficient, their failing has usually been underestimating demand. To cite only one example, in the 1950s University staff estimated that New York institutions would need to enroll half a million

students by 1970. Although the private colleges intended a 40 percent expansion, serving such a population would require SUNY's enrollment to balloon by 186 percent. Actually, the State's 1970 enrollment reached more than 600,000, two-thirds of which had to be accommodated in SUNY and CUNY. In fact, the strains caused by the need for rapid growth led to a caution in the 1968 Master Plan that SUNY's enrollment goals were "based upon a reasonable annual rate of growth capable of being supported by the academic program and the operating budget."

In the '80s and early '90s, the University (and New York's other institutions) continued to have high enrollments. In 1990-91 SUNY reached its highest enrollment as a 64-campus institution — despite years of constricted resources and of significant decline in the size of high school graduating classes. The proportion of New York State high school graduates applying and enrolling in SUNY, and its enrollments of women, persons of color, the disabled, older adults, and part-time students have reached new levels. To maintain maximum access in the face of continuing high demand, campuses have served thousands of students more than budgeted for, while experiencing serious staffing declines and worsening student/faculty ratios.

To maintain maximum access in the face of continuing high demand, campuses have served thousands of students more than budgeted for, while experiencing serious staffing declines and worsening student/faculty ratios.

The system has been developed to encourage access by providing an unusual variety of entry points for students of differing social and economic backgrounds, differing preparations for college, and differing educational goals. Community college full opportunity programs are available in sponsor counties; other campuses offer entry through a variety of admissions policies from broad admissibility to highly competitive; Educational Opportunity Centers and Programs offer an additional dimension of access for the severely disadvantaged. A series of transfer and articulation policies adopted by the Trustees over the last 25 years has provided paths for students seeking education beyond the associate degree.

Equally significant is the vast expansion of programmatic access. The most common and needed programs, in the arts and sciences, technologies, and certain professional areas (e.g., teacher education, business), are appropriately replicated in many locations across the state. As the numbers of older adult

students and others who cannot relocate has increased, SUNY campuses have moved to place branches and satellite centers within their reach. Empire State College offers non-residential education, and other campuses provide at least some options for independent study. Programs for particular kinds of "non-traditional" students, e.g., displaced homemakers, have been devised to accommodate their needs.

Access to graduate and advanced professional work has been improved by program expansion, appropriate regional replication of widely-needed programs, and policies designed to assist students needing advanced learning, including those populations historically underrepresented in graduate education and the professions.

Comprehensiveness

In terms of what might be called "vertical comprehensiveness" — degree levels and opportunities — SUNY has become a complete institution. A single student can, without ever leaving the system, obtain counseling and college preparatory work in an Educational Opportunity Center; earn a certificate and complete an associate, baccalaureate, master's and doctoral degree in many fields; and in some (a number likely to grow significantly in the future) do post-doctoral work and upgrade professional skills. The maintenance of all types of campuses within a single structure — despite differing relationships to the SUNY Trustees among the State-operated, community college and statutory campuses — has made this possible (and continues to be an unusual structure in American higher education).

SUNY's enrollments of New York State high school graduates, women, persons of color, the disabled, older adults and part-time students have reached new levels.

In terms of programmatic ("horizontal") comprehensiveness or coverage, attention to serving local, regional and statewide needs is carried out through SUNY's variety of campus types, the development of a broad array of disciplines, and past decisions to create multiple opportunities for study in the most needed fields. The Colleges of Technology, virtually unique in the nation, provide service to their localities, regions and the state in programs particularly related to New York's economy, as do the community colleges for their local

SUNY has become a complete institution by maintaining all types of campuses within a single structure and offering programs serving local, regional, and statewide needs.

areas. SUNY has also addressed the need to provide new upper-division programs for associate degree-holders.

In addition, the University offers programs and other learning opportunities (e.g., through research) not always available in other public institutions, systems or states. Examples include: the performing arts, atmospheric sciences, veterinary medicine, agricultural and engineering technologies, medieval studies, Latin and Caribbean studies, human ecology, labor studies, advanced technology, ceramics, oceanographic and marine studies, forestry and environmental science, maritime training and transportation, optometry, training related to the fashion industry.

Maintaining program availability and range requires constant scrutiny and adjustment. SUNY regularly eliminates no longer needed programs as well as starting new ones. Campuses must address changes in students' interests or goals and in societal demands, yet at the same time continue basic or traditional fields and respond to rapid changes in knowledge, e.g., in the biological and information sciences. Since the mid-'70s, SUNY campuses have had to mount new or expanded programs for growing enrollments in business and management, computer sciences, certain health sciences, and other fields without many or, usually, any new faculty resources (which have been available only for engineering and some graduate programs). The campuses have responded by making planned and often painful reallocations of faculty positions from one major discipline to another — over 10,000 such decisions in the last 15 years. By reallocating within the limits of what is possible, given the need for campus balance among majors, among cognate fields, and between general and professional education, SUNY campuses have maintained program coverage and served both access and quality even as they dramatically changed the University's academic profile.

Diversity and Differentiation of Program

SUNY planning has consciously preserved the essential differentiations among types of campuses in programs, degrees offered, admissions, service areas, research emphases, and public service roles, while allowing enough over-

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lap to afford access and student choice. Among its primarily undergraduate campuses, SUNY offers a variety of environments — urban, rural, or suburban; large or small; residential or commuting; structured or independent — and thus a variety of educational climates in which students of different learning styles and aspirations can be successful.

While SUNY master plans have outlined the broad missions of the campus types, they also explicitly recognized the importance of faculty and staff creativity and local initiative, both within types and within individual campuses.

> "In its quest for identity and excellence, the University will not lose sight of the need for diversity and uniqueness within its units. Each part of the University will conform to the broad mission...but this does not diminish the need for initiative, innovation, and change. The Trustees...applaud all [campus] efforts to develop special programs, strengths, and interests which fall within their mission." (1964 Master Plan)

Later plans continued this philosophy, on the premise that the University's quality and service would be enhanced. The University Centers, encouraged to develop in their own ways, exploited particular histories or strengths (e.g., sciences at Stony Brook, public affairs disciplines at Albany). Later, the Graduate Education and Research Initiative selectively targeted for development or improvement areas of regional importance or potential campus excellence.

The University Colleges, growing into multi-purpose baccalaureate and master's level institutions, also took advantage of past excellence (e.g., music at Potsdam) or cultivated new strengths based on other individual factors, for instance location (e.g., Canadian studies at Plattsburgh), regional needs, or the interests and creativity of particular departments and faculty. The community colleges and Colleges of Technology also show individualities based on local or regional employment and economic factors, faculty, history, etc.

SUNY has not suffered as some other systems did, particularly during the '60s and '70s, from "mission inflation" — i.e., the often successful drive of two-year campuses to become baccalaureate institutions or four- and five-year colleges to become doctoral institutions. When some deviation from basic mission did take place by the addition of selected baccalaureate offerings at the

two-year Colleges of Technology, it was carefully planned and resulted from years of evidence that in certain fields baccalaureate-level education was now needed by the students and their prospective employers.

In pursuing access, comprehensiveness and campus differentiation, SUNY became a national innovator in higher education. Among the ten State-operated campuses added to the original system, four, developed in the '60s and early '70s, have especially unusual missions: the College at Old Westbury, to serve persons historically bypassed by higher education as well as "traditional" students; the Institute of Technology at Utica/Rome, to serve two-year transfer students in the technologies and sciences; the College at Purchase, with both performing arts and liberal arts curricula; and Empire State College, the "college without walls," designed to serve place-bound adults and students of all ages seeking independent study.

Quality

SUNY's plans have consistently emphasized the need for high quality in all the University's functions – instruction, research, and public service.

Given New York's lack of experience with strong public higher education and SUNY's need to grow quickly to accommodate demand, the University's planning has traditionally paid close attention to questions of quality in instruction, research, and public service. Programs appropriately located to provide access need sufficient resources to assure quality. Campuses must maintain a balance and a depth appropriate to their missions and circumstances. Cognate programs must be available for the basic undergraduate instructional programs, while very specialized programs require concentrated investment in faculty and support. Research requires appropriate facilities, support staff, and data resources, as do public service activities.

SUNY's plans have consistently emphasized high quality in all the University's functions, repeatedly addressing the need for library, computing, counseling, technical and other services that advance scholarship, improve instruction, and otherwise support excellence. To attract outstanding faculty, the University moved early to provide activities helpful to faculty recruiting and development, e.g., the Research Foundation; the SUNY Press; incentives for research, instructional innovation, and intercampus sharing of disciplinary

knowledge among faculties; international research and service opportunities. Major steps taken by the State and SUNY in the '60s to put the University on a par with peer institutions included creation of the University's own professional service and competitive salary levels. Distinguished Professorships and Chancellor's Awards were created by the system to recognize outstanding achievement in teaching, research, and service by the faculty and non-teaching staff. Campuses have developed many programs to encourage faculty and staff development, curricular innovation, and instructional improvement.

Many tools are available to campuses in their pursuit of quality: e.g., information on student performance in graduate and professional school admissions, licensure examinations, and employment; the advice of disciplinary or other advisory bodies, employers, and public service clients; the constant assessment and evaluation of programs through internal and external reviews. Campuses' development and resource allocation are regularly scrutinized in relation to peer institutions elsewhere in the country. In response to national concerns for quality, campuses re-examined general education, and more recently have developed plans to assess student learning outcomes and apply the knowledge for the improvement of institutional performance.

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The Independent Commission on the Future of the State University reported in 1985 that SUNY's undergraduate programs generally achieved a high level of quality. Deficiencies in graduate education and research are being addressed, as resources permit, through the GRI; already a number of nationally known researchers have moved to SUNY campuses from other institutions.

That SUNY's undergraduate programs and, increasingly, its graduate programs and research are achieving excellence is shown by the growing appearances of SUNY campuses on national lists of high-quality institutions and programs; a dramatically expanded volume of sponsored research and ability to compete for externally awarded centers of excellence; ability to attract the services of nationally and internationally known artists, scientists, and other scholars; and the increasing interest of the public in SUNY. In addition to the University's rising appeal to high school graduates and older adults seeking degree study, this public confidence shows up in the numbers of clients utiliz-

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ing our economic development and other public service activities and persons seeking non-degree-credit instruction for career and other reasons. In 1990-91 campuses recorded more than one million registrations in such programs.

Two other examples of quality should be mentioned briefly. First, responsiveness to the public's needs is an indicator of quality for public institutions. Since the early '80s, SUNY has been sought out by new populations of students (e.g., older adults, the disabled, the employed) because, despite severe fiscal constraints, it has been able to serve their academic and career needs. Second, in terms of management, the University has examined and improved its resource allocation and other processes, e.g., helping its hospitals to adapt to a new health care delivery environment, successfully devolving functions to the campuses in response to the flexibility legislation of 1985, developing a model energy conservation program.

The Independent Commission on the Future of the State University noted in 1985: "Other states have had more than 100 years to develop their state university systems. Certainly no state has accomplished as much in so short a time as has New York in building SUNY." The University has now granted more than 1,300,000 degrees. Most of its graduates still live in and contribute to the State. It is unlikely that SUNY could have come so far toward achieving its mission and the goals of accessibility, comprehensiveness, differentiation, and quality had it not had a strong tradition of and commitment to planning. This commitment continues.